Performance Management Module 19

DoD Performance Management and Appraisal Program (DPMAP)

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In DPMAP the overall appraisal process is:

A continuous two-way communication between supervisor and employee allowing a systematic evaluation of performance against clearly stated standards

MyPerformance: Overview

- The yearly appraisal cycle is 1 April thru 31 March, effective on 1 June
    - Example Cycle: 1 April 20XX thru 31 March 20XX+1, effective 1 June 20XX+1

- It is **REQUIRED** to have 3 formal (system documented) performance discussions yearly
    - **1**. the performance plan, **2.** the progress review and **3.** the final appraisal.
    - (Any appraisal missing the above steps is invalid)

- Employees **MUST** work under an approved plan for 90-days during the cycle to be eligible to receive an appraisal.

- Performance appraisals use a 3-tiered system to rate performance
    - A 5 rating is "Outstanding", a 3 rating is "Fully Successful" and a rating of 1 is "Unacceptable". All Performance Elements are critical and will not be weighted.

- Performance elements and standards for supervisors must be equal to or greater than the technical elements and standards

MyPerformance: Overview

- DoD core values will be discussed with employees at the beginning of the appraisal cycle and will be annotated on **ALL** performance plans. The DoD core values are: leadership, professionalism, and technical knowledge through dedication to duty, integrity, ethics, honor, courage, and loyalty.

- Performance plans must be Approved within 30 Days of the start date of the rating period.

- **Progress Reviews are not mid year reviews**. One documented Progress Review is mandatory per appraisal cycle. You may have as many progress reviews as needed!

- **Performance Narratives**. Addresses the employee's performance measured against the performance standards for the appraisal cycle.

- **Performance narratives** are mandatory for each element rated "Outstanding" (Level 5) and "Unacceptable" (Level1). They are optional but highly encouraged for each element rated "Fully Successful" (Level 3)

- **Performance Narrative Statements** will replace Closeout Assessments and is required when a supervisor changes for an employee who has performed under an approved performance plan for 90 calendar days.

Question!

How long must an employee work under an approved plan in order to receive a performance appraisal?

A. 30 days
B. 60 days
C. 90 days
D. 120 days

ANSWER

How long must an employee work under an approved plan in order to receive a performance appraisal?

90 Days

AUS employee's

- All AUS technicians who have not been present to perform work under an approved plan for the minimum 90 days during the appraisal cycle year will NOT receive an appraisal.

Question!

Which employee NEVER receives a performance appraisal?

A. Temp employees – tenure 0
B. Permanent employees – tenure 1
C. Conditional employees – tenure 2
D. Indefinite employees – tenure 3

ANSWER

Which employee NEVER receives a performance appraisal?

Temp employees – tenure 0

Who receives an appraisal?

Yes

Permanent Employees - Tenure 1

Indefinite Employees – Tenure 3

Conditional Employees – Tenure 2
(AFTER 1 year probation/trial period)

No

Temp Employees – Tenure 0

More...Trial-Period Employees

Why no appraisal's during the first year?

Appraisals apply only to employee's

More...Trial-Period Employees

5 USC 7511 (Definitions: application)

- **(1) "employee" means-**

- **(C) an individual in the excepted service (other than a preference eligible)**

- **(i) who is not serving a probationary or trial period under an initial appointment**

More...Trial-Period Employees

- **Performance & conduct are reviewed for suitability for technician service**

- **During the trial period, the technician's appointment can be terminated at any time – WITH PROPER DOCUMENTATION**

- **After successfully completing 12 months probationary service the employee is placed on a performance plan**

More...Trial-Period Employees

- **RETAIN:**
  - **The technician's work performance must minimally rate at an equivalent Fully Successful, Level 3 rating**

- **NOT TO RETAIN:**
  - **Supporting documentation will be forwarded to the HRO who will advise supervisors and managers on appropriate action(s) to remove the technician from Federal service**

Performance Management

Performance management process:

- **Planning** work and setting expectations
  (Writing the elements and plan)

- **Monitoring** performance continually
  (Providing feedback – discussions)

- **Evaluating** performance in a summary fashion
  (End of cycle evaluation)

- **Recognizing and rewarding** good performance
  (SSP's, Time off awards, letter of recognition)

Performance Management

Planning Performance

Performance Appraisal System

Planning Process

- **Analyze the position**

- **Assess what the key KSAs are**

- **Review/update the job standards**

- **Review/ensure accuracy of the position description**

- **Identify the job elements**

(Planning work and setting expectations)

Performance Appraisal System

Employees:	Supervisors:
• **Identify achievable performance elements and standards for themselves** • **Provide input to supervisor regarding the performance plan** • **Ask questions to clarify the supervisor's expectations of their performance**	• **Compile list of tasks** • **Establish appropriate performance elements** • **Establish quantifiable and measureable standards** • **Communicate approved performance plan to employee and how performance expectations link to organizational goals** • **Encourage continuous, meaningful two-way communication** • **Proactively communicate the plan to the employee** • **Provide a copy of the approved performance plan** • **Conduct performance planning discussion s** • **Modify the performance plan, as needed**

Performance Management is a COLLABORATIVE EFFORT between Supervisors and Employees

Performance Elements

Performance elements describe what work is to be performed

Performance plans must have a minimum of one critical performance element, maximum of 10, and each performance element must have associated standards that define expectations

The number of supervisory performance elements on performance plans for supervisors will equal or exceed the number of non-supervisory (technical) performance elements

An organization *may* have standardized performance elements

DoD Instruction 1400.25, Vol. 431

Performance Standards

Standards describe how the requirements and expectations provided in the performance elements are to be evaluated

Should be written using SMART criteria

Must be written at "Fully Successful" level for each performance element

Avoid using absolute standards (e.g., 100 percent, always, or never) unless critical to life and safety

DoD Instruction 1400.25, Vol. 431

Performance Standards

Are the standards fair?

Are they comparable to expectations for other employees in similar positions?

- Applying different standards to employees doing the same work does not appear on its face to be fair or valid
- Requiring higher-level management review of standards for similar work across an organization may be one way of ensuring equity

Do the standards allow for some margin of error?

- Requiring perfection is not fair in most instances

DoD Instruction 1400.25, Vol. 431

S	Specific
M	Measurable
A	Achievable
R	Relevant
T	Timely

Example SMART Standards

Timely

2. Provide accurate, timely customer service

Upon receipt of requests, provide accurate responses in the agreed-upon timeframes, as defined by ICD 24.8, using the appropriate format identified in SOP25 during the performance appraisal cycle ending March 31, 2017. This supports the organization's commitment to be responsive to customers and clients. Meet suspenses 90% of the time. Provide accurate responses with no more than 2 errors per request.

Specific

Relevant

Measurable/ Achievable

Finalize the Plan

After discussion(s), finalize a written performance plan

It's important that both the supervisor and the employee understand the performance plan

Plans must be clearly communicated to and acknowledged by employees

The following elements must be included for employees who also supervise (CNGBI 1400.25 v431 para 6.c.)

Equal Employment Opportunity Or Equal Opportunity

Whistleblower Protections

Prohibited Personnel Practices

Performance Management Actions

Performance Management

Monitoring Performance

Monitoring Phase

Two-Way Communication

Emphasize Organizational Goals

Frequent Performance Discussions

Focus on Performance

Early Detection of Performance Issues

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Feedback Guidelines for the Feedback"ee"

- ✓ Just Listen

- ✓ Don't interrupt

- ✓ Don't get defensive

- ✓ If things get awkward or too emotional, don't respond and ask for a break. But be sure to re-connect with person giving feedback

I'm listening...

"Thank you for the feedback."

Roles and Responsibilities

Supervisors

- ✓ **Continuously communicate; provide encouragement, meaningful feedback, and recognize accomplishments**

- ✓ **Provide employees an opportunity to highlight their successes relative to the performance elements and standards**

- ✓ **Identify needed changes to performance elements as appropriate**

- ✓ **Review IDPs to identify development opportunities**

- ✓ **Identify employee's skills and abilities, and look for opportunities to further develop them**

- ✓ **Document performance discussions**

- ✓ **Recognize and reward performance throughout the performance appraisal cycle**

Roles and Responsibilities

Employees

✓ **Ask questions**

✓ **Engage in self-development**

✓ **Keep supervisor informed on outcomes**

✓ **Provide input during performance discussions**

✓ **Identify changes to performance elements as appropriate**

✓ **Identify challenges impeding ability to be successful**

✓ **Work with supervisor to find solutions to barriers to success**

✓ **Keep a record of their accomplishments so that they are able to discuss them throughout the cycle**

Avoiding Year-End Surprises

Continuous communication (Progress Reviews) help ensure clear understanding of outcomes in the final performance appraisal.

The overall goal is mutual understanding between employee and supervisor which helps eliminate surprises at the end of the appraisal cycle

Performance Management

Communicating Achievements

Employee input is strongly encouraged to ensure supervisors have a full range of information when evaluating employee accomplishments

Employee input should:

Identify accomplishments in a clear, concise manner

Describe how accomplishments relate to the performance elements and standards

Demonstrate how accomplishments contributed to organizational goals

Addressing Performance Issues
Informal Feedback

➢ Steps for effective informal feedback are:

- ✓ State what has been observed using facts, not emotions
- ✓ Describe how the performance fails to meet standards
- ✓ Wait for a response (let them talk)
- ✓ Ask for a solution; give suggestions if needed
- ✓ Agree on a solution together
- ✓ Set a follow-up date and time

Make sure you document everything!

How Employees Can Improve Performance

- ✓ Ask clarifying questions
- ✓ Ask for specific examples of "Fully Successful" performance
- ✓ Request additional job-related training or assistance
- ✓ Adhere to responsibilities outlined in the PIP document; actively seek assistance when needed

Evaluating Performance

✓ **Performance Appraisal Cycle**
01 April to 31 March

✓ **Performance Ratings**
- ➢ *5 - Outstanding*
- ➢ *3 - Fully Successful*
- ➢ *1 - Unacceptable*

Employee Input

PERFORMANCE APPRAISAL

Employee Performance Rating

Performance Narrative

Employee Performance Ratings
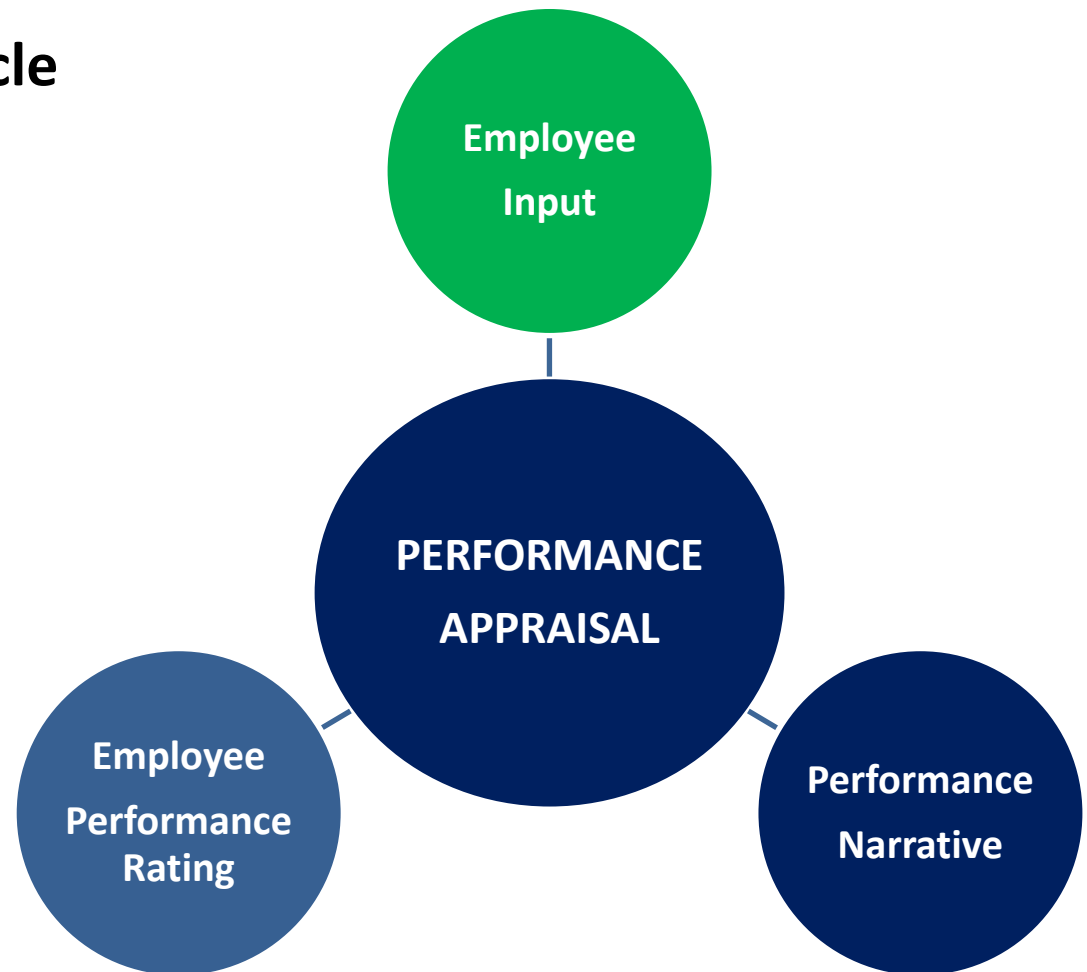
(5) OUTSTANDING

- **The average score of all performance element ratings is 4.3 or greater, with no element being rated a "1", resulting in an overall rating of record that is a "5".**

(3) FULLY SUCCESSFUL

- **The average score of all performance element ratings is less than 4.3, with no element being rated a "1", resulting in an overall rating of record that is a "3".**

(1) UNACCEPTABLE

- **Any performance element rated as a "1".**

SAMPLE Performance Rating Narratives

Level 5 - Outstanding

- Produces exceptional results or exceeds expectations well beyond specified outcomes
- Sets targeted metrics high and far exceeds them (e.g., quality, budget, quantity)
- Handles roadblocks or issues exceptionally well and makes a long-term difference in doing so
- Is widely seen as an expert, valued role model, or mentor for this work
- Exhibits the highest standards of professionalism

Level 3 – Fully Successful

- Effectively produces the specified outcomes, and sometimes exceeds them
- Consistently achieves targeted metrics
- Proactively informs supervisor of potential issues or roadblocks and offers suggestions to address or prevent them
- Achieves goals with appropriate level of supervision

Level 1 - Unacceptable

- Does not meet expectations for quality of work; fails to meet many of the required results for the goal
- Is unreliable; makes poor decisions; misses targeted metrics (e.g., commitments, deadlines, quality)
- Lacks or fails to use skills required for the job
- Requires much more supervision than expected for an employee at this level

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Evaluating Phase Roles and Responsibilities

Employees

- **Provide input**
- **Include each performance element**
- **Restate understanding of these performance elements**
- **Highlight all of the most significant achievements**
- **Make the connection accomplishment > result > impact on the organization**
- **Note challenges, how they were resolved, and lessons learned**

Supervisors

- **Request and consider employee input**
- **Consider obstacles encountered and overcome**
- **Prepare a written narrative and rating on each performance element**
- **Make meaningful distinctions based on performance; foster and reward excellent performance; address performance issues**
- **Clearly communicate approved and finalized ratings**

Supervisors write a performance narrative that describes the employee's performance measured against the performance standards for the appraisal cycle

A written rating of record must be provided at the end of the appraisal cycle for each employee who has been under an approved performance plan for 90 calendar days during the cycle.

Performance narratives :

➢Justify how an employee's ratings are determined
➢Are required for each element rated "Outstanding" and "Unacceptable"
➢Are highly encouraged for each element rated "Fully Successful" as a means of recognizing all levels of accomplishments and contributions to mission success

The supervisor sets the date, time, and location with the employee when meeting to discuss the evaluation

Performance Appraisals – Three Mandatory Action Situations

1) **Appraisal of <u>less than</u> "Fully Acceptable" requires immediate remedial action to allow improvement, including:**

- **Establishment of a written Performance Improvement Plan (PIP)**

- **An offer to participate in the Employee Assistance Program (EAP), as needed**

Performance Appraisals – Three Mandatory Action Situations

1) Continued

- **Description of potential actions resulting from continued "unacceptable" performance**

- **Statement of Notice that performance is at best "Marginally Acceptable", for pay purposes**

- **Withholding of Within-Grade increase for which otherwise eligible**

Performance Appraisals – Three Mandatory Action Situations

2) **If performance improves to "Fully Acceptable", a new rating may be given**

- • **Acceptable performance rating requires granting a Within-Grade Increase, as determined by the state**

Performance Appraisals – Three Mandatory Action Situations

3) A continuing "Unacceptable" rating requires the technician be

- **Removed from employment in that position**

- **Reduced in grade (in that position) to a level at which qualified & capable of acceptable performance, OR**

- **Reassigned to another position for which qualified & capable of acceptable performance**

A Technician may appeal any performance appraisal or notice of rating or any single aspect of an appraisal/rating.

Timeframes for filing appeals:

- **Other than unacceptable ratings – within 30 calendar days of receiving the original copy of the appraisal**

- **Based on Unacceptable ratings – within 15 calendar days of receipt of written notice or original copy of appraisal**

More...Appraisal Appeals

The Performance Appraisal Review and Appeals Board:

- **Established by the state Adjutant General**

- **Consists of members of equal or higher grade than appellant**

- **<u>Cannot be in the appellant's chain of command</u>**

More...Appraisal Appeals

The Performance Appraisal Review and Appeals Board:

- **Concerned only with the appeal--**

  NOT the personnel action taken as a result of an unacceptable appraisal

- **Submits decision within 15 calendar days**

More...Appraisal Appeals

- **The appellant is entitled to representation**

- **There are no appeal rights for this purpose beyond the Adjutant General**

- **Labor Relations Specialist – Ms. Stacey Mitchell**

- **5 CFR 430 (Performance Management)**

- **5 USC 4301-4305 (Performance Appraisal)**

- **DoDI 1400.25 Vol 431 (DoD Civilian Personnel Management System: Performance Management)**

- **CNGBI 1400.25 Vol 431 (NG Technician Performance Appraisal Program)---in rewrite**

- **CNGBI 1400.25 Vol. 752 (Adverse and Disciplinary Actions)**

In Internet Explorer navigate to https://compo.dcpds.cpms.osd.mil. Click on Smart Card Log In Then select the Email certificate…

...and accept the Privacy Act Statement.

To create or modify employee Performance Plans select
"Performance Management and Appraisals" under Manager Functions.
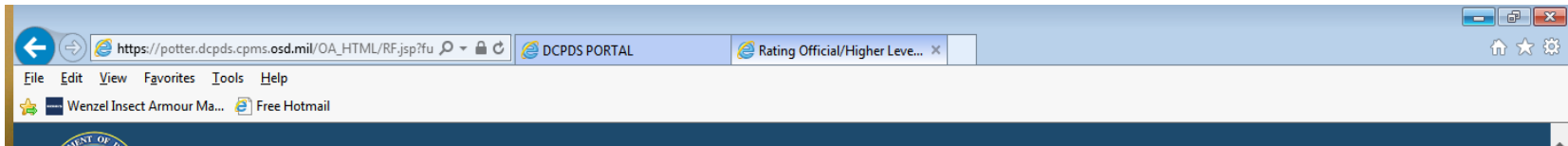
The MyPerformance Main Page displays current active performance plans.
This list is not from the hierarchy.
Only people in the rating chain have access to employee performance plans.

Select DoD Performance Management and Appraisal Program and click "GO"

This page list the employees linked to the supervisor in the Organizational Hierarchy.
Click on "Create" for the selected employee.
Supervisors can only create performance plans for employees in their hierarchy.

Contact HRO for employees not in your hierarchy.

The Supervisory Commitment Statement must be acknowledged each time a supervisor go into an employee's performance plan.

This applies to AGR supervisors as well as Technician supervisors.

Supervisory Commitment Statement

I acknowledge my role as a supervisor is vital in fostering a fair, credible and transparent performance system. It is important that I ensure performance elements are linked to organizational goals; establish open communication; monitor and evaluate employee performance; recognize and reward performance and appropriately address deficient performance.

Table 1 – *Create Performance Plan* page - Setup Details fields and descriptions

Description of the fields in the Plan Setup Details.
The Rating Official Guide uses tables like this to identify the data in each field.

Field	Description
Appraisal Type	The Annual Appraisal – DoD option appears by default.
Appraisal Period Start Date	The cycle start date defaults to 01-Apr-YYYY
Appraisal Period End Date	The cycle end date defaults to 31-Mar-YYYY
Appraisal Effective Date	The appraisal effective date defaults to 01-Jun-YYYY
Rating Official	This field is auto-populated based on information stored in the hierarchy
Higher Level Reviewer Name	This field is auto-populated based on information stored in the hierarchy, but can be changed as necessary

Plan shell has been established.

User can navigate using the tabs which are now available or click "Save and Continue" to go to the next page.

Next step is to enter Mission Goals.

Note the reminder to discuss the DoD Core Values when your employee reviews their performance plan.

DoD Core Values MUST be incorporated into the Mission Goal.

Click Save and Continue.

Employee Information

Employee Name
▷Show Employee C

DoD Core Values: Leadership, Professionalism, and Technical Knowledge through dedication to duty, integrity, ethics, honor, courage, and loyalty.

This screen allows you to enter your employee's Component organizational values, mission statements, or goals which apply to their performance elements and standards.

Step 2: Mission Goals

- Enter your Component's organizational values, mission statement, or goals directly in the text box or copy and paste from another document.
- Select Save and Continue button at the bottom right corner to move to Step 3: Performance Elements and Standards.
- Select Save and Go Back button at the bottom right corner to go back to Step 1: Plan Details.

For additional guidance, select **Need Help?**

ENTER MISSION GOALS HERE

(Limit to 1000 characters)   Spell Check   Counter   26

Save and Go Back   Save and Continue

Auto saving in about 14 minute(s)   100%

Next step is to enter properly formatted Performance Elements.
Minimum of 1 Performance Element is required but no more than 10 maximum.
Weighting is not used in this program and all Performance Elements are Critical.

Employee Information

Employee Name
▷Show Employee [

This screen allows you to add or update a performance element and view approved performance elements for your employee. Performance elements should be written using the SMART criteria. Select **Need more information?** link to view the SMART criteria.

Step 3: Performance Elements and Standards

- Select Add Performance Element button to add a new performance element and standard(s).
- Select Update button under the Details Action column to update an unapproved performance element.
- Select View button under Details Action column to view an approved performance element.
- Select Delete icon under the Details Delete column to delete a performance element.
- Select Save and Continue button at the bottom right corner to move to Step 4: Approvals and Acknowledgements.
- Select Save and Go Back button at the bottom right corner to go back to Step 2: Mission Goals.

For additional guidance, select **Need Help?**

					Add Performance Element		
Details	Number	Title	Status	Element Type		Action	Delete
	No results found.						

Save and Go Back   Save and Continue

Auto saving in about 14 minute(s)   100%

Click "Save and Add Another Performance Element" until all Elements are added.

Click "Go Back to Performance Elements" page when done.

When all elements are added click: Step 4: Approvals and Acknowledgments tab or click another option.

The performance plan can be transferred to the employee for review and input but if the employee has already provided input go to Approvals and Acknowledgements tab to transfer to HLR.

Click Step 1: "Start" to begin the Approvals and Acknowledgments process.

Select Option A to transfer the performance plan to the HLR
The HLR will "Approve" or "Return the Plan for Change" then back to the rater for final approval.

Use Option B if the Rating Official and the HLR are the same or if the HLR is not available.
This option will capture the HLR signature but not transfer the plan.

Fill in the required information for either option, click Transfer with Email Notification or Save

Once you have selected the desired option, Click Yes to Confirm approval

Confirmation

I certify that the information in this performance plan accurately documents the Rating Officials decisions and the Higher Level Reviewer's approval

NEW BEGINNINGS

Start Step 3, fill in the Communication Date and Method of Communication. If Other method is selected you must enter something in the Other field.

There MUST be employee acknowledgement of the performance plan.
Save and Transfer to Employee for Acknowledgment or Save and Go to Step 4 if the employee is unavailable or unable or unwilling to sign.
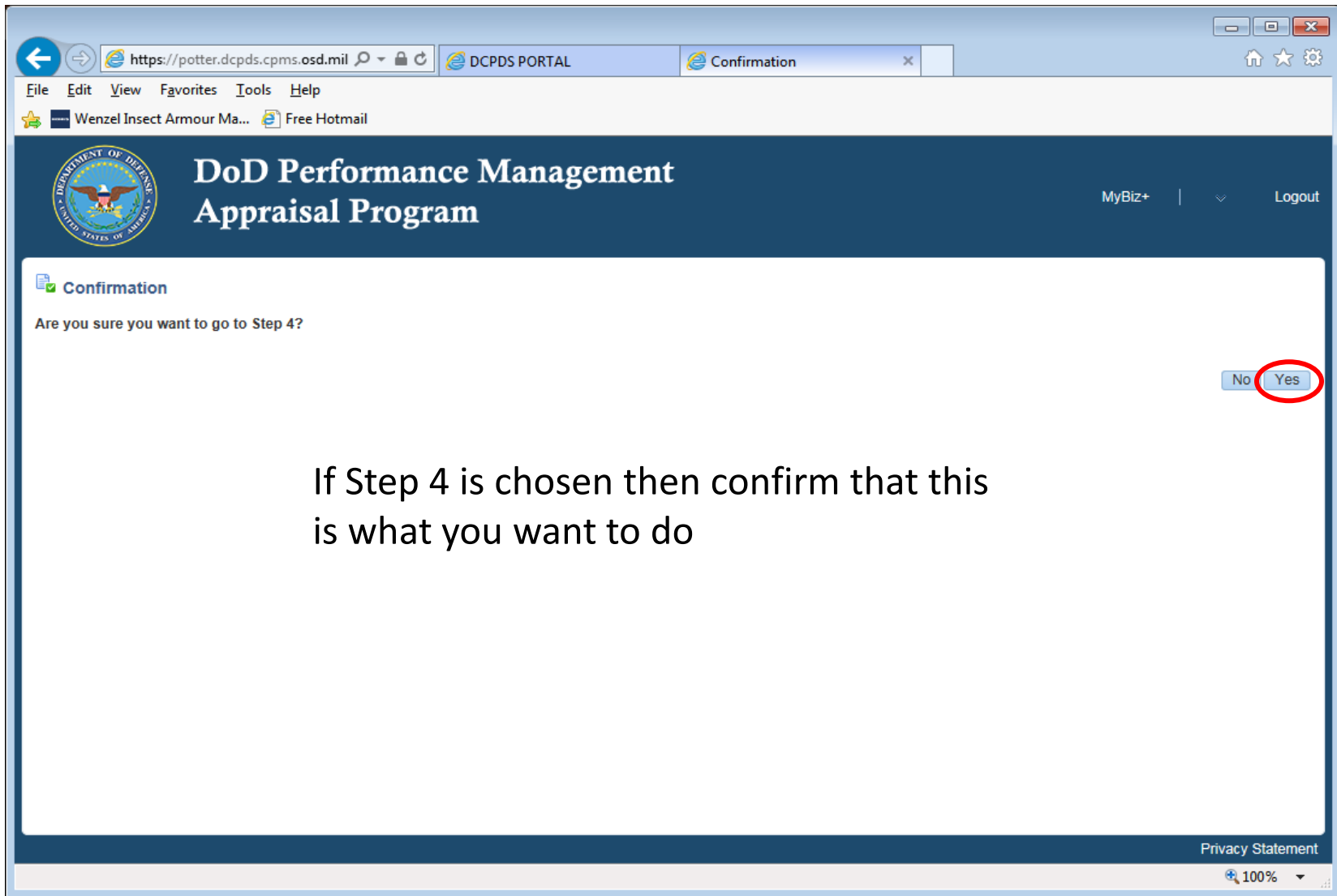
If Step 4 is chosen then confirm that this
is what you want to do

Enter the acknowledgment, if Other is selected then the Other block must have value. Click Save

Performance Plan is now completed and Approved.

The Approvals and Acknowledgement process is REQUIRED for all events in DPMAP

The Annual Appraisal will not process through the system unless ALL steps are completed.

Select Save and Go Back to review or Return to Main Page and click Go

-- Choose an Action --   Go
Change Rating Official or Higher Level Reviewer
Transfer to Employee   Available Actions
Track Progress
Return to Main Page

Employee Information

Employee Name
▷Show Employee D

This screen allows you to view approval information and status of the employee's performance plan.

Step 4: Approvals and Acknowledgments

- Select Show All Details link to see approvals and acknowledgment information (dates, method, etc.) and Hide All Details link to collapse all steps.
- Select Show link to see approvals and acknowledgment information for each step and Hide link to collapse step.
- Select Go Back button at the bottom right corner to move to Step 3: Performance Elements and Standards.

For additional guidance, select **Need Help?**

Show All Details | Hide All Details

Details	Tasks	Status
▷	Step 1: Rating Official - Request or Document Higher Level Review (if required)	Completed
▷	Step 2: Higher Level Reviewer - Review (if required)	Completed
▷	Step 3: Rating Official - Document Communication to Employee	Completed
▷	Step 4: Rating Official - Document Employee Acknowledgment	Completed

Save and Go Back

Auto saving in about 14 minute(s)   100%

Progress Reviews

One documented Progress Review must be accomplished for each employee usually halfway through performance cycle

Progress Reviews

Progress Reviews

The Progress Review screen has 2 tabs
One for the assessment and another for approvals and acknowledgments

Progress Reviews

Once the employee and the rating official have entered their input, complete the steps on the Approvals and Acknowledgements tab.
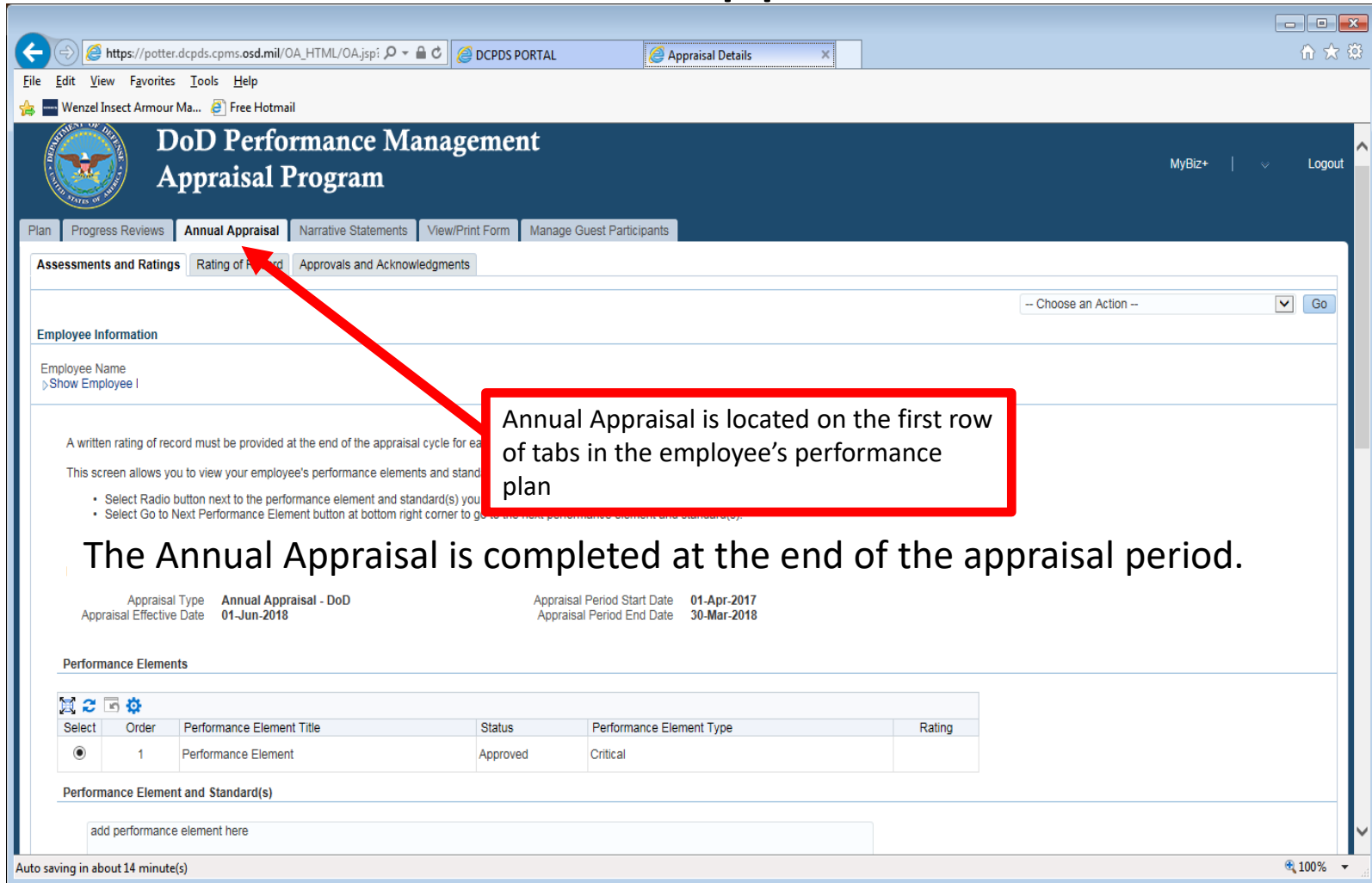
Employees must be offered the opportunity to provide input here

Rating official assessment goes here

Annual Appraisals

Annual Appraisal is located on the first row of tabs in the employee's performance plan

The Annual Appraisal is completed at the end of the appraisal period.

Annual Appraisals

Three tabs on the Annual Appraisal screen allow you to navigate to Assessments and Ratings, Rating of Record, and Approvals and Acknowledgments

Annual Appraisals

After employee and Rater inputs have been entered the Rating of Record can be entered at the bottom of the assessment screen. Select Go to Next Performance Element until all elements have been assessed and rated. Then complete the Approvals and Acknowledgments

Performance Narrative Statements

- Performance Narrative Statements are required whenever there is a change to the employee's supervisor. This can result from a position change for the employee or a re-assignment of a supervisor.

- A Performance Narrative Statement is a non-rated assessment of an employees performance based on their established performance standards. This assessment becomes part of the performance plan and is available for the new supervisors consideration.

- The outgoing supervisor is responsible to complete the Performance Narrative Statement then changes the Rating Official and/or HLR to the employees new rating official. This essentially transfers the plan to the new rater. Do NOT create a new plan for a change in supervisors or job.

- The new rating official must review the performance plan, edit the performance elements for the employees new job and re-approve the performance plan.

- Performance Narrative Statements were formerly called Closeout Assessments.

Narrative Statements are written the same way Progress Reviews are except a Narrative Statement identifies a change in rating official

Click View/Print Form to review DD Form 2906-DoD Civilian Performance Plan, Progress Review and Appraisal

Then click View/Print Form to open the PDF

Guest Participants can be added to provide input to an employees performance plan and assessments.
This is useful if you have an employee on another detail

Questions?